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CKET NO. NG(MS)7220

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Kenneth W. Aull
Serial No.: 09/815,770
Filed: 23 March 2001
For: *System and Method for Third Party Recovery of Encryption Certificates in a Public Key Infrastructure*
Art Unit: 2134
Examiner: David Y. Jung

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed foreign patent document and other publication is enclosed. No U.S. Patents nor any published U.S. Patent Applications are enclosed.

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) _____ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.

(b) _____ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) _____ Within 3 months of the filing date or date of entry into the National Stage.

(b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090 for consideration of this Statement.

(c) ____ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) ____ The required certification is given below, or

(2) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) ____ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 20-0090.

(d) ____ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) ____ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

(2) ____ Charge the fee set forth in 37 C.F.R. 1.17(i)(1) to Deposit Account No. 20-0090.

4. Certification (if applicable)

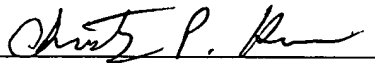
(a) ☒ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) ____ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 20-0090.

Respectfully Submitted,

TAROLLI, SUNDHEIM, COVELL, & TUMMINO L.L.P.

By: 
Christopher P. Harris
Reg. No. 43,660

CUSTOMER NUMBER: 26294

TAROLLI, SUNDHEIM, COVELL & TUMMINO LLP
526 Superior Avenue, Suite 1111
Cleveland, Ohio 44114-1400
(216) 621.2234



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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/815,770
				Filing Date	23 March 2001
				First Named Inventor	Kenneth W. Aull
				Art Unit	2134
				Examiner Name	David Y. Jung
Sheet	1	of	1	Attorney Docket Number	NG(MS)7220

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name Of Patentee Or Applicant Of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Number-Kind Code ^{2, (If Known)}			
		US-6,185,308 B1	02-06-2001	Ando, et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code-Number-Kind Code (If Known)				
		JP 11-85015	03-30-1999	Fujitsu Limited, Kawasaki, NEC Corporation, Hitachi, Ltd.	See corresponding US application above for English version	
EXAMINER SIGNATURE				DATE CONSIDERED		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.